



Indiana Investor Education Program Fact Sheet

The Indiana Secretary of State's investor education program, known as Indiana Investment Watch, operates within the Secretary of State's Securities Division. The main goals of the program are to prevent fraud and encourage reports of fraudulent activity by raising awareness throughout the state; to assist Hoosiers in finding a basic approach to gaining wealth through saving and investing; to encourage children to learn about money early in life through both family and school activities; and to raise awareness on the resources that the Secretary of State's office offers to the people of Indiana.

General Facts about the Investor Education Program

- Investor education is a proactive approach to law enforcement. While the Secretary of State, through his Securities Division, enforces securities laws and brings those who break them to justice, investor education gives Hoosiers the opportunity to become more aware of how to avoid white-collar criminals and be smart, safe investors. This unique approach helps Hoosiers to be proactive with their financial decisions rather than reacting after the problem has occurred. Investor education stresses that prevention is the key.
- The program is supported by a network of statewide partnerships with other financial literacy organizations as well as a national network through the North American Securities Administrators Association (NASAA). NASAA provides an annual Investor Education Training Conference as a way for investor educators across the country to keep in touch and learn about the practices of other states.
- The Indiana Secretary of State's investor education program, Indiana Investment Watch, is not funded at the expense of Indiana taxpayers. The investor education program is funded entirely by the state's securities enforcement fund, which contains money collected from settlements in securities fraud cases.

History of the Investor Education Program

- The investor education program came into formal existence in the fall of 2003 when Secretary of State Todd Rokita hired Indiana's first Investor Education Coordinator. Devoting a full-time staff member to investor education made Indiana a national forerunner in educational efforts.
- Initial efforts of the investor education program included the creation of informational brochures to assist Hoosiers in understanding the basics of investing and common types of investment fraud. The brochures are available free of charge and can also be downloaded from at www.sos.IN.gov.



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Securities Division

- The program began with efforts to educate Hoosiers about securities fraud, but has since expanded to cover various kinds of investing as well as working with financial literacy groups across the state. Each year since 2003, the Secretary of State's office has expanded the reach of the program. With the launch of Indiana Investment Watch, the addition of a Director of Investor Education, the launch of the Protect Your Pockets Workshop, a partnership with AARP, and many other exciting efforts, 2006 is going to be the biggest year yet for investor education in the State of Indiana.
- Launched in 2006, Indiana Investment Watch expands the investor education program by adding a broad-based media campaign that promotes basic financial awareness and equips Hoosiers with the tools needed to prevent fraud. This multifaceted campaign will include new investor education projects, a content-rich Web site, as well as print, television and online advertising.

Outreach Initiatives

- Through an ongoing partnership with the Indiana Council for Economic Education (ICEE), the Secretary of State's office has been involved in the implementation of the Stock Market Simulation in classrooms across Indiana and assisted in the development of a set of financial literacy posters for teachers. Posters are available at www.kidseconposters.com.
- Grassroots efforts of the investor education program have included informational booths at the Indiana State Fair, Indiana Black Expo, Fiesta Fort Wayne, Fiesta Indianapolis, Senior Expos in five different counties, Indiana University football games, and Purdue University football games.
- The program has continued to give presentations on investment fraud at teacher training workshops, senior homes, community organization meetings and the Marion County Prosecutor's Office Senior Sentinel training event.
- Other activities have included participation in local and statewide financial literacy events: National Teach Children to Save Day, National Get Smart About Credit Day, Financial Literacy for Youth Month, Jump\$tart Teachers Summit, and the Indianapolis Financial Fitness Fair.

Special Projects and Community Involvement

- Beginning in April 2004, the Secretary of State's office initiated an annual Investor Awareness Month. April activities have included a statewide awareness campaign through public service announcements, visits to classrooms, new brochures, and presence at financial literacy events around the state.
- The Secretary of State's office became a member of the Indiana Financial Literacy Coalition (IFLC) in 2005 and is working with the coalition to pool all financial literacy resources across the State of Indiana to make them more accessible to Hoosiers.
- The investor education program also holds free workshops called Protect Your Pockets several times a year. Secretary of State staff and financial professionals give presentations and field audience questions about topics such as avoiding fraud, investing basics, retirement planning, money management and mortgage awareness.